Open Access to Scholarly Research
at the University of Pittsburgh

Report of the Open Access
Task Force

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Open Access is...

- A family of copyright licensing policies under which authors and copyright owners make their works publicly available

- A movement in higher education to increase access to scholarly research and communication, not limiting it solely to subscribers or purchasers of works

- A response to the current crisis in scholarly communication

OA Overview

- Open Access literature is digital, online, free of charge, and free of most copyright and licensing restrictions

- All major OA initiatives for scientific and scholarly literature insist on the importance of peer review

- Works are still covered by copyright law, but Open Access terms apply to allow sharing and reuse

OA is compatible with . . .

- Copyright
- Peer review
- Revenue (even profit)
- Print
- Preservation
- Prestige
- Quality
- Career advancement
- Indexing
- And other features and supportive services associated with conventional scholarly literature

Defining OA

Bethesda Statement on Open Access Publishing and Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

- For a work to be OA, the copyright holder must consent to let users

  – Copy, use, distribute, transmit, and display the work publicly

  – Make and distribute derivative works, in any digital medium for any responsible purpose, subject to proper attribution of authorship

Defining OA
Budapest Open Access Initiative

- . . . Without financial, legal, or technical barriers other than those inseparable from gaining access to the internet itself

- The only constraint on reproduction and distribution, and the only role for copyright in this domain, should be to give authors

  – Control over the integrity of their work

  – The right to be properly acknowledged and cited

Other related terms

- **Open Source**—applies to computer software

- **Open Content**—applies to non-scholarly content

- **Open Data**—a movement to support sharing of research data (see data.gov)

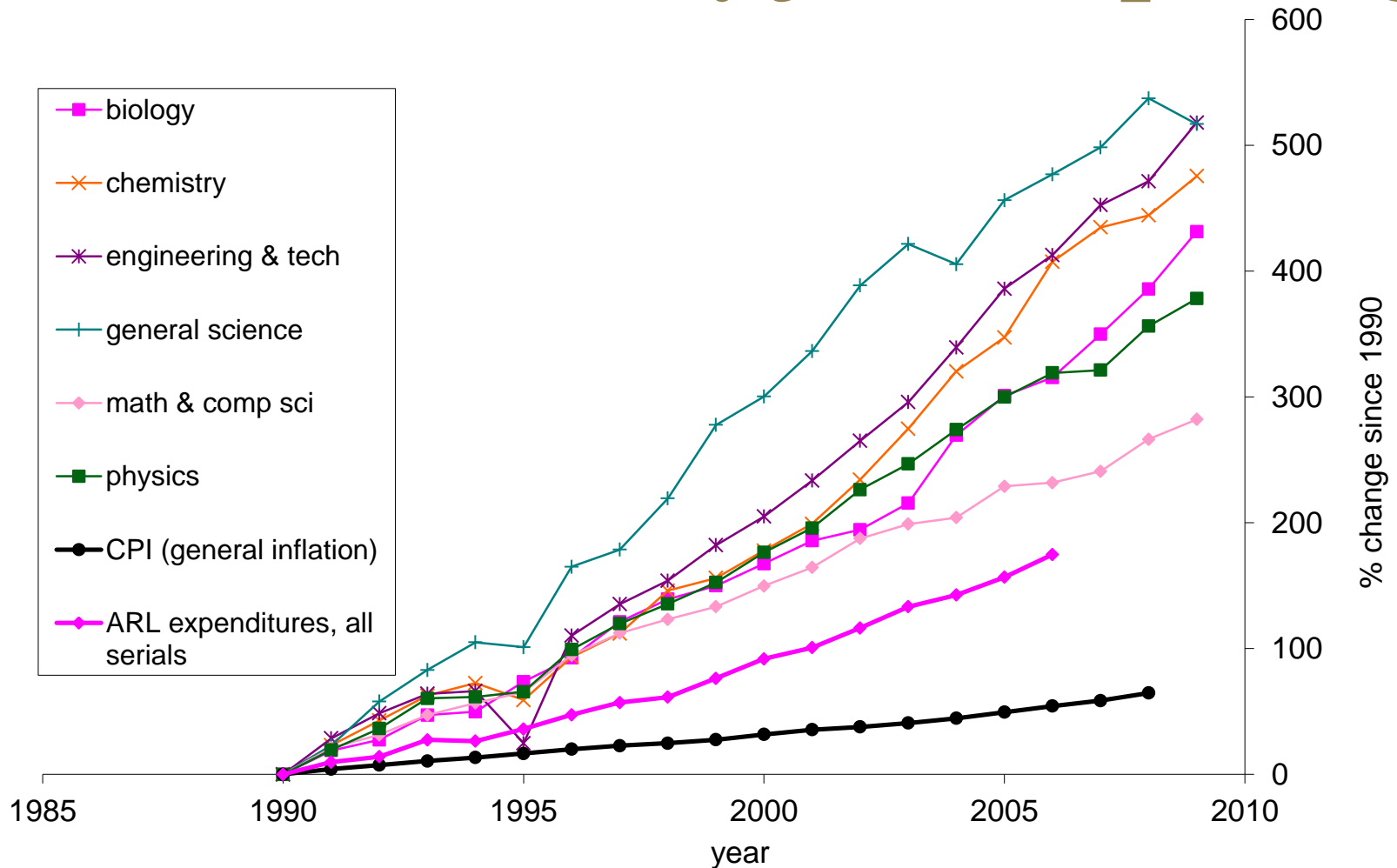- **Free Access**—no charge to access, but all rights may be reserved

Open Access—Origins

- **Rise of Internet and Worldwide Web**

  – Rapid dissemination of new research
  – Better connectivity between scholars

- **Crisis in scholarly communication/publishing**

  – Flat to declining collections budgets
  – More demand for newer, expensive resources
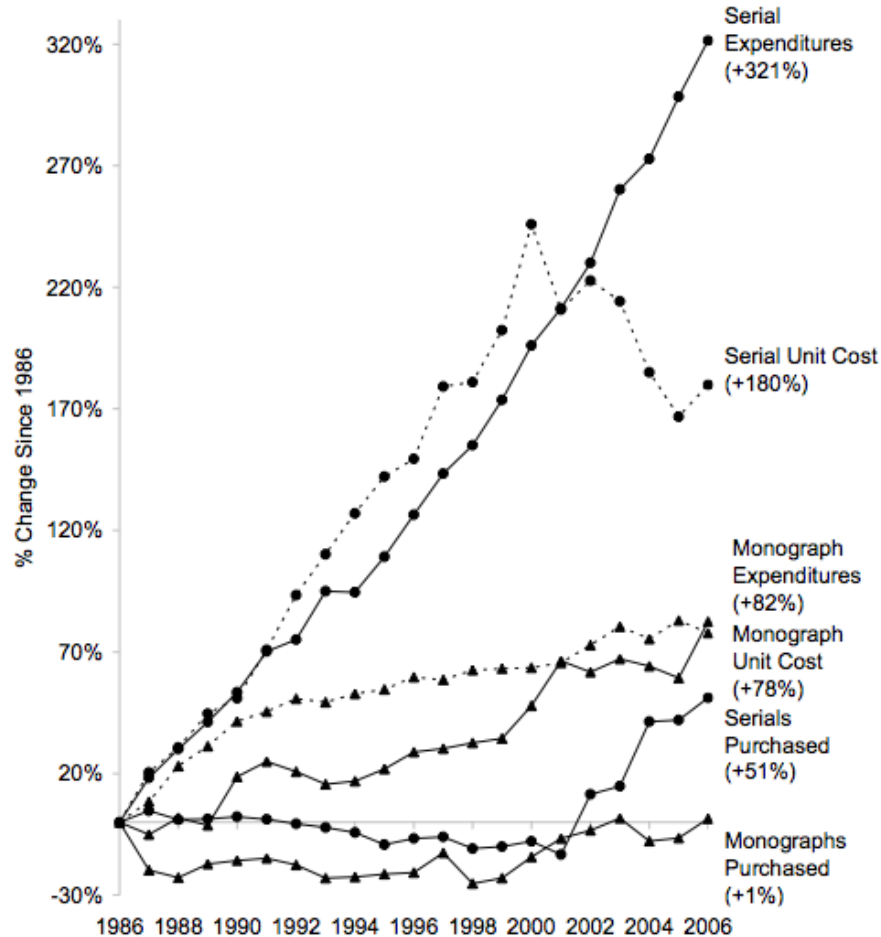 – Greatly increased pricing for serials, electronic resources

Crisis in scholarly journal pricing

Graph 2
**Monograph and Serial Expenditures
in ARL Libraries, 1986-2006***

Source: *ARL Statistics 2005-06*, Association of Research Libraries, Washington, D.C.
*Includes electronic resources from 1999-2000 onward.

OA History—Early Days

- **Late 1960s/early 1970s**
  - ERIC, Medline, and Agricola created; ARPANET launched

- **1971**
  - Project Gutenberg formed

- **1983**
  - ARPANET switches to TCP/IP protocol; modern internet begins

- **Late 1980s/early 1990s**
  - several free, online, peer-reviewed journals launched:
    - *Psycholoquy*
    - *Electronic Journal of Communication*
    - *Postmodern Culture*
    - *Bryn Mawr Classical Review*

OA History—1990s

- **1991-1994**
  - ArXiv, mp_arc (Mathematical Physics Preprint Archive), Project Bartleby, Perseus Project, et al., launched

- **1993**
  - CERN places Worldwide Web software in public domain

- **1994**
  - Digital Libraries Initiative launched by National Science Foundation; Social Sciences Research Network (SSRN) launched

- **1996**
  - Networked Digital Library of Theses and Dissertations, Internet Archive created

OA History—Early 2000s

- **2000**
  - Tempe Principles for Emerging Scholarly Publishing
  - PubMed Central launched
  - UN Economic and Social Council calls for "universal access to knowledge and information"

- **2002**
  - Budapest Open Access Initiative
  - First Creative Commons licenses released
  - Directory of Open Access Journals launched; 32 journals in 7 countries listed

- **2003**
  - Bethesda Statement on Open Access Publishing
  - Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

OA History—Late 2000s

- **2005**
  - NIH Public Access Policy goes into effect: Scientists receiving NIH grants are asked to deposit in PubMed Central *on a voluntary basis*
  - Wellcome Trust implements Open Access mandate for Wellcome-funded research
  - Columbia University, University of Kansas, and Case Western Reserve, adopt statements in support of OA

- **2008**
  - Federal mandate takes effect requiring OA to NIH-funded research through deposit in PubMed Central
  - Harvard mandates OA deposit of faculty scholarly works

- **2009**
  - MIT mandates OA deposit of faculty scholarly works

OA Today

- **Over 150 universities around the world mandate Open Access deposits of faculty works**

- **Directory of Open Access Journals (DOAJ)**

  – lists 6,998 OA journals in 112 countries

  – http://www.doaj.org (September 2011)

- **Directory of Open Access Repositories (OpenDOAR)**

  – lists over 2,000 open archives in 97 countries

  – http://www.opendoar.org (September 2011)

OA@Pitt—History

- **2000**
  - Pitt is signatory to Tempe Principles
- **2001**
  - Electronic Theses and Dissertations (ETDs) begin
  - PhilSci-Archive launched for rapid OA dissemination of new research in philosophy of science; "The Pittsburgh Archive")
- **2002**
  - Pitt is signatory to Budapest Open Access Initiative
  - School of Engineering requires deposit of ETDs in advance of University-wide mandate

OA@Pitt—History

- **2003**
  - Archive of European Integration created
- **2004**
  - ETDs mandated for all programs with a thesis requirement
  - Minority Health Archive launched
- **2007**
  - University of Pittsburgh Press begins working with ULS to provide OA to 500 books on Press backlist
  - ULS journal publishing program begins, moving existing print journals to electronic

University of Pittsburgh

OA@Pitt—History

- **2008**
  - ULS published its first e-only Open Access journal, *International Journal of Telerehabilitation*

- **2009**
  - *Senate Plenary Session on Open Access*
  - D-Scholarship institutional repository launched
  - Open Access Task Force formed
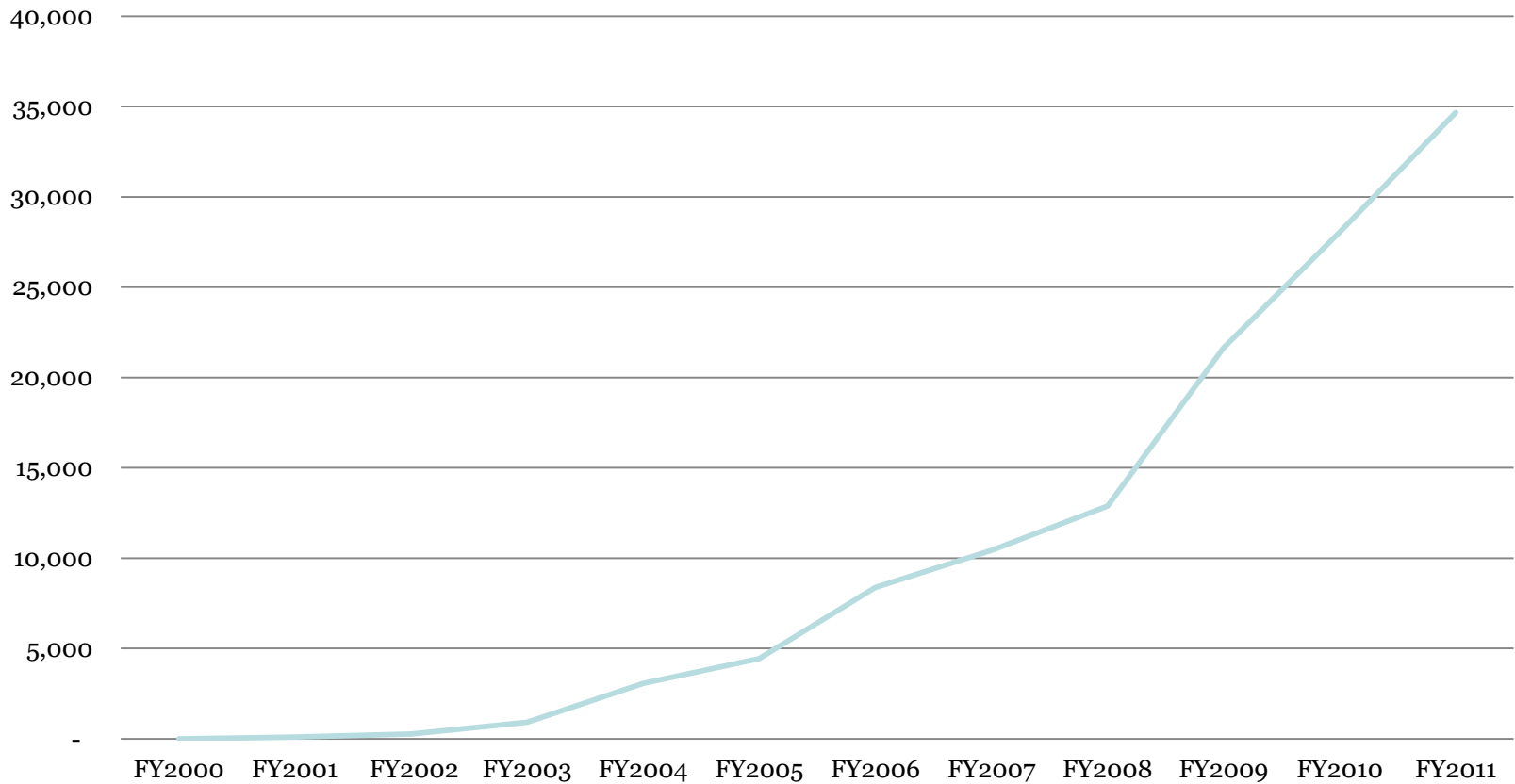 - OA journal publishing increases to 8 titles

OA@Pitt—Today

- 22 Open Access journals now published with 5 more pending; nearly all are peer-reviewed

- ULS Publications Advisory Board formed

- PhilSci-Archive contains more than 2,600 items

- Archive of European Integration contains 16,000 items

- 5 author self-archiving repositories with more planned

- D-Scholarship contains more than 5,700 items

- Over 4,200 ETDs; will be migrated to D-Scholarship by November 2011
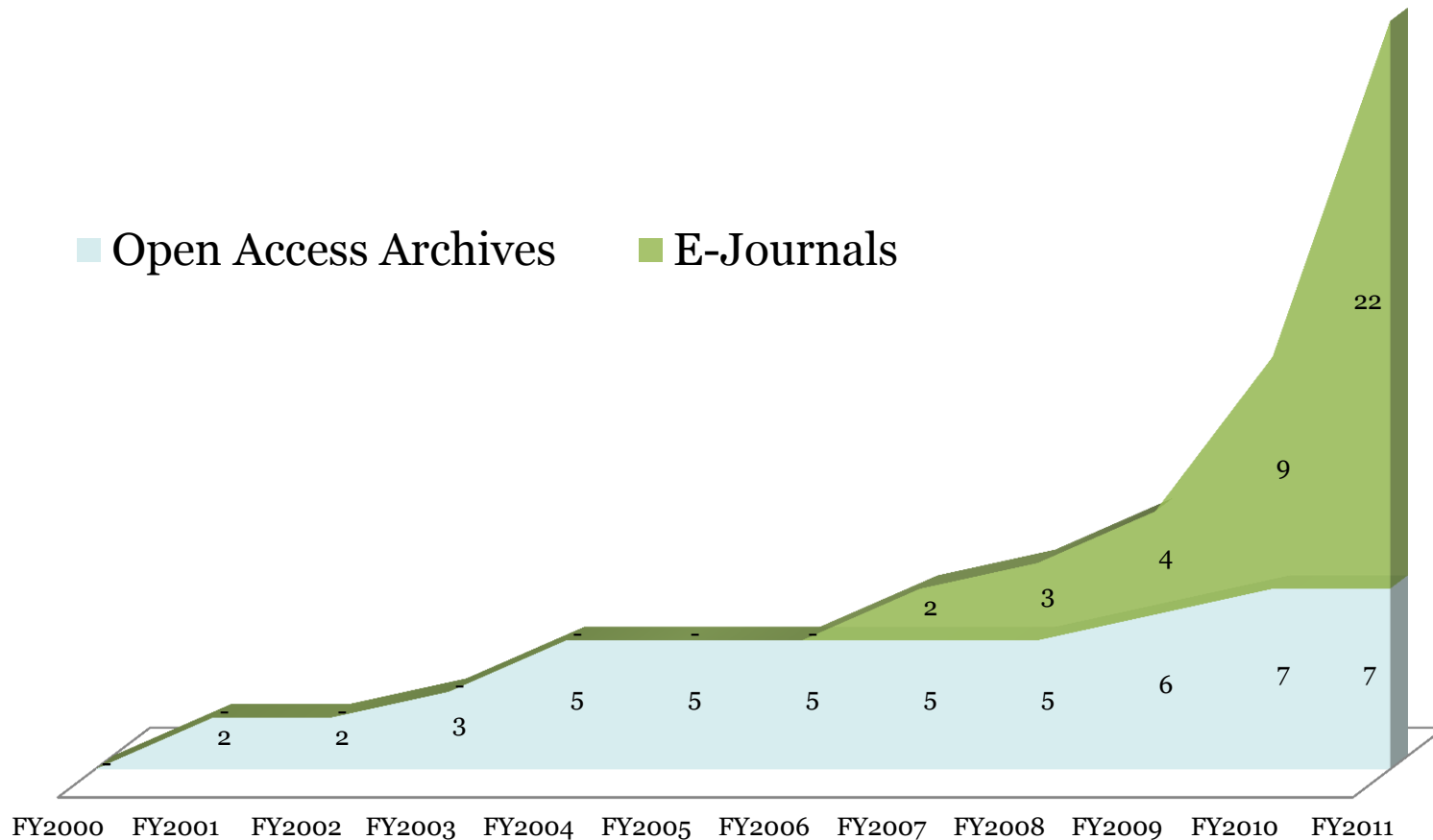
Total number of documents
in ULS e-publications FY2000-FY2011

Growth in the number of ULS E-Publications

- ■ Open Access Archives
- ■ E-Journals

	FY2000	FY2001	FY2002	FY2003	FY2004	FY2005	FY2006	FY2007	FY2008	FY2009	FY2010	FY2011
E-Journals	-	-	-	-	-	-	-	2	3	4	9	22
Open Access Archives	-	2	2	3	5	5	5	5	5	6	7	7

Collaboration with University of Pittsburgh Press

- 745+ University of Pittsburgh Press titles freely available through Press Digital Editions

- Co-sponsor for all peer-reviewed journals published by the ULS

- Director Cynthia Miller a member of ULS Publications Advisory Board

Open Access Task Force

- **Rush Miller**, University Library System (Task Force Chair)

- **Michael Madison**, School of Law

- **Cynthia Miller**, University of Pittsburgh Press

- **Steven Reis**, Associate Vice Chancellor for Clinical Research, School of Medicine

- **Adam Shear**, Dept. of Religious Studies

- **Karen Shephard**, Barco Law Library

OA Task Force Charge

- To review issues related to open access and to make recommendations to the University related to the adoption of an open access policy at Pitt.

OA and "U": Why Open Access?

- Increase the visibility and discovery of the research output of the University of Pittsburgh and its faculty

- Support the University's mission of service by disseminating research results to the global academic community

- Readily demonstrate the high level of research conducted at the University to international ratings agencies and colleagues

OA and *You*

- **Greater access to your research**
  - More scholars view and read your work
  - Extends the global reach of your research
  - Reduces or eliminates price/permission barriers inherent in subscription journals

- **More progress for your research**
  - Promotes speed, productivity, and knowledge translation
  - Allows authors to share research for the public good, not only with colleagues at the University of Pittsburgh but around the world

- **Greater impact for your research**
  - More scholars cite your work
  - Indexing in Google Scholar, OAIster, and Internet search engines for scholarly works

- **Long-term preservation in a trusted repository**

Example—ETD

Abdullah, Fawaz Mohammad. "Lean Manufacturing Tools and Techniques in the Process Industry with a Focus on Steel." Ph.D. diss., University of Pittsburgh, 2003.

– Deposited in ETD-DB 13 May 2003

– Views 28 May 2003-31 July 2011—101,606

Example—New Research

Abbott, Russ. "The Reductionist Blind Spot." *Complexity* 14 (2009): 10-22.

- – Pre-print deposited in PhilSci-Archive 31 March 2009.

- – Views of pre-print as of 31 July 2011: 19,413

- – Origin of top downloads: US, UK, Germany, France, Philippines

Example—Faculty research

Cox, Richard J. "Digital Curation and the Citizen Archivist." Published in *Digital Curation: Practice, Promises & Prospects: Proceedings of DigCCurr 2009,* University of North Carolina, Chapel Hill, April 1-3, 2009.

- Pre-print deposited 27 May 2009

- Views as of 31 July 2011: 1,105

The state of scholarly publishing

- Est. 50 million scholarly research articles published 1665-2009

- @1.4 million per year (2006 est.)

- Average number of science articles per journal increased by >47% from 1990 to 2009
  (Times Higher Education, 8 July 2010)

- Number of scientific articles indexed by ISI was 590,841 in 1990 and 1,015,637 in 2009 – a rise of 72% 1990-2009

The state of scholarly publishing

- **Nearly 50% of the content of the merged ISI Indexes consists of titles from 5 major publishers—**

  - Elsevier
  - Wiley
  - Springer
  - Taylor & Francis
  - Sage

- **In 2002,**

  - Top 3 publishers of scientific journals (Elsevier, Springer-Kluwer, and Wiley-Blackwell) accounted for approximately 42% of all articles published

  - There were over 2,000 publishers of academic journals, no other publisher accounted for more than 3% share of the journal market

Publishers' response to OA

- **2004**

  - Elsevier announces new policy permitting authors to post final editions of their full-text Elsevier articles to their personal websites or institutional repositories

  - Sage Publications adopts policy to allow authors to deposit their post-prints in OA repositories without case-by-case permission

- **2005**

  - Blackwell launches hybrid OA journal

  - Springer creates the position of Director of Open Access, 1st publisher to do so

- **2006**

  - John Wiley & Sons, Elsevier, ACS, Taylor & Francis, et al., launch hybrid OA journals

Publishers' response to OA

- Growing number have adopted policies to allow placement of final published version (post-print) of scholarly articles in repository

  - Or will allow placement of author's final accepted copy (pre-print) in repository

  - or author manuscript in repository

- Many will accept a modified license in which author retains rights to do so *when specifically requested*

- SHERPA RoMEO tracks publishers that allow OA

Proposed OA Policy @Pitt

- Provides for dissemination of scholarly works (articles only) by university authors based on Open Access principles

- Applicable only to the University schools and responsibility centers that adopt it

- Scholarly works to be deposited in the University's institutional repository, D-Scholarship@Pitt

- Deposits made by the University Library System's Office of Scholarly Communication and Publishing

Proposed OA Policy @Pitt

- Not intended to impose limitations on where University authors can publish, now or in the future

- Applies only to scholarly works for which the author retains copyright or the publisher allows deposit in local repository.

- Depending on publisher policy, authors may deposit:
    - author's pre-publication manuscript
    - final edited copy (pre-print)
    - final published version (post-print)

- Includes provisions to waive deposit requirement if permission is not granted by the publisher

Proposed OA Policy—Faculty role

- Won't have to deposit works; works will be deposited on the author's behalf by the ULS Office of Scholarly Communication and Publishing

- Will retain copyright for works deposited, unless the author transfers copyright for the work to a publisher

- May also self-deposit works or designate a proxy to deposit works

- May, at own discretion, deposit other scholarship, such as books, book chapters, manuscripts, monographs, conference materials, multimedia files, and data files supporting research

What if the publisher has restrictions on OA deposits?
Options for authors

- Select Creative Commons licensing for scholarly works, indicating how the work may be used by others

- Choose to restrict access to University of Pittsburgh users

- Choose to restrict access for an embargo period

- These requirements are waived where permission to publish, archive, and make accessible is not granted by the publisher

What Authors Can Do

- Creative Commons licensing

- SPARC Author Addendum

- SHERPA RoMEO

- Deposit your works in D-Scholarship now

Creative Commons Licensing

- Open Access alternative to "ALL RIGHTS RESERVED"

- Standard licenses that make it easy for authors to share their work with some rights reserved

- Allows authors to choose the terms of future use that balance between Open Access and protection of the author's interests

Creative Commons Licensing Terms

- **Attribution (BY)** – must credit the author

- **No Derivatives (ND)** – may reuse the work, but only unaltered from the original

- **Noncommercial (NC)** – may not use for commercial purposes

- **ShareAlike (SA)** – allows derivative works, but requires the same CC license terms be applied to any derivative works

Creative Commons:
The 6 licenses

Attribution (CC BY)

Attribution-ShareAlike (CC BY-SA)

Attribution-NoDerivatives (CC BY-ND)

Attribution-NonCommercial (CC BY-NC)

Attribution-NonCommercial-ShareAlike
(CC BY-NC-SA)

Attribution-NonCommercial-NoDerivs
(CC BY-NC-ND)

SPARC Author Addendum

- Under traditional agreements, all rights—including copyright—go to the publisher

- Author Addendum—Legal instrument that modifies publisher agreement allowing you to retain certain rights, e.g., copying for classes, sharing with colleagues, placing on webpages or in repositories, et al.

- Offers an alternative to the "all or nothing" publisher agreement in which you may sign away these rights

Sherpa RoMEO

- Searchable database of publisher's policies regarding self- archiving of journal articles on the Web and in Open Access repositories

- Helps clarify for authors whether author can self-archive and under what circumstances

- Developed at University of Nottingham, UK
  - http://www.sherpa.ac.uk/romeo/

D-Scholarship

- You can deposit NOW—no need to wait for a deposit mandate

- Not limited to peer-reviewed content

- Will accept any research deposited, including—

  - PowerPoints
  - Multimedia
  - Data sets
  - And more

What we can do for authors

- Deposit works on behalf of authors

- Help determine whether placement of a pre-publication manuscript, a final copy (pre-print), or the published version (post-print) of the work is allowed by the publisher

- Create a citation-only record for works that cannot be deposited into or must be removed from the Institutional Repository

- Advise others accessing or making use of the scholarly works to abide by the terms of use specified by the copyright owner

- Preserve your work in the repository in perpetuity

- Ensure that your works are discoverable on the Internet

Wait, there's more:
What *else* we can do

- Advise you on issues of—
    - Best practices for e-publishing
    - Open Access and Creative Commons licensing for scholarly works
    - Make referrals to Office of General Counsel when expert legal advice is needed
    - Ways to protect your rights when signing publisher agreements

- Help you start a new journal or convert a print journal to electronic

- Help you build a subject-based author self-archiving repository for grey literature, such as conference proceedings, technical reports, white papers, and other "fugitive" literature

What we can do for your school

- Highlight all materials from your school/program

  - Faculty publications
  - ETDs
  - Technical reports
  - Series

- Co-locate all scholarship submitted by your school/program

- Provide static URLs to scholarship from your school/program

- Provide RSS feeds for your school, program, or even individual faculty members

- Improve search, linking, discovery

- Guarantee preservation in perpetuity

Contact us

ULS Office of Scholarly Communication and Publishing

- **Tim Deliyannides**, Director

- **John Barnett**, Scholarly Communications Librarian

- **Vanessa Gabler**, Electronic Publications Associate

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